State of Washington
Department of Retirement Systems

Note: Page one of the Reporting and Procedural Changes for SERS has been updated. Please reference the updated language at http://www.wa.gov/DRS/employer/drsn/drsn2000/00002bookletupdate.pdf.

Reporting and Procedural Changes for SERS

Reporting and Procedural Changes for SERS

This Booklet Discusses:

Overview

This booklet provides information about transmittal reporting to the Department of Retirement (DRS) for the School Employees' Retirement System (SERS) employers:

- Transmittal reporting requirements
- Making corrections to the transmittal report
- Automated reporting requirements
- Edits for automated reporting

Changes to Reporting Requirements (PERS to SERS Conversion)

The areas of change are summarized below:

- The SERS reporting group number logic:
  Add the number **1** to the end of the Public School Employees' System (PERS) reporting group number. For example: if a district's PERS number is 9900, the SERS number will be **99001**.

- System equals E.

PERS Type Code	SERS Type Code
08	30
16	31
18	32
21	33

- Valid earning periods for SERS Plan 2 are from 10/1977 – forward.

- Valid earning periods for SERS Plan 3 are from 09/2000 – forward.

- SERS Entry Date equals 9/2000 (the first SERS transmittal report). PERS Plan 2 reports will not be expected and/or processed after the August 2000 transmittal report has been processed.

- The SERS Plan 3 Transfer Date can be 9/1/2000 – 2/28/2001 and only January 1-31 of each subsequent year thereafter (like TRS Plan 3).

- SERS Plan 3 contribution rate options and investment programs will be the same as the Teachers' Retirement System (TRS) Plan 3.

- The employer and member contribution rates for SERS Plan 2 are currently the same as PERS Plan 2.

- The employer contribution rate for SERS Plan 3 will be the same as SERS Plan 2.

Determining Plan Eligibility for Reporting Purposes

The following table will help employers establish what retirement system/plan a member is eligible for, which then determines the transmittal report the member should be on:

Member Eligibility Date	**Retirement Plan**	**On/After Sept. 2000 Transmittal Report**
Before October 1, 1977	PERS Plan 1	PERS Plan 1 Report
On or after October 1, 1977, through August 31, 2000*	PERS Plan 2	SERS Plan 2 Report SERS Plan 3 Report *(if member transfers)
On or after September 1, 2000	SERS Plan 3	SERS Plan 3 Report

*Members who transfer from SERS Plan 2 to SERS Plan 3 on or after September 1, 2000, are reported on the SERS Plan 3 Transmittal Report.

The PERS Plan 2 transmittal report for the August 2000 reporting period is due September 15, 2000. This is the last PERS Plan 2 report DRS will process before the SERS report goes into effect. The September 2000 transmittal report will be the first SERS report.

Reporting to DRS

Each month, SERS employers are required to report information to DRS about each employee who is a member of a Washington State retirement system. This process is referred to as the regular transmittal report. Regular transmittal reports are due to DRS by the 15th of the month following the month being reported; e.g., the December transmittal is due January 15. If a regular transmittal report is late, DRS will assess a late penalty fee [RCW 41.50.110(5)].

DRS recommends to employers that they send the Plan 3 member contributions and the transmittal report as close to the first day of the month as possible. This allows the Plan 3 member contributions to be invested as soon as possible. DRS depends upon receiving *timely and accurate information* from employers to provide service to retirement system members. Accurate transmittal reporting by employers helps ensure:

- member retirement benefits are calculated correctly;
- member requests to withdraw contributions are processed in a timely manner; and
- interest on member accounts is calculated and posted accurately.

A Summary of the Reporting Process

Employers can report to DRS **electronically**, using a variety of options provided for automated reporting. Contact Employer Support Services (ESS) if you need help getting started or have questions about your monthly reporting.

Submitting the Transmittal Report

The options available for submitting the member information are described briefly below:

File Transfer Protocol

You can submit your transmittal report through the Internet using File Transfer Protocol (FTP). (Refer to page 27.)

Dataset to DIS

If you have access to the Department of Information Services' (DIS) mainframe computer, you can submit your transmittal report as a dataset. (Refer to page 30.)

Computer Diskette

You can submit your transmittal report on a 3.5-inch computer diskette. To report in this way, use a personal computer, save an electronic file in a format DRS will accept, then mail the computer diskette to ESS. (Refer to page 33.)

When to Report Information

The regular transmittal report must reflect the reportable compensation paid to retirement system members during the month being reported. *Compensation must be identified by the month and year in which it is earned.* Report compensation *as earned, but not before it has been paid.*

Employers with more than one payroll cycle in a month can submit a transmittal report once a month or with each payroll cycle. The following pages provide examples of transmittal reporting of retirement contributions for the different payroll cycles. The examples below are intended to explain only when information should be reported.

Monthly Payroll Cycles

Example #1:

Your payroll cycle is set so an employee is paid on January 31 for work performed from January 1—31. You pay compensation in the same month in which it is earned.

Figure 8-1 shows how you can report the employee using one line of the transmittal. Use a January earning period to report the compensation earned from January 1—31. Report this information on the January transmittal due to DRS by February 15.

Washington State Department of Retirement Systems | **Member Earnings Transmittal Report**

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
99001	E	2	01/2001	Example School District	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information												
			Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date	Seq No.
SSN: 123 45 6789	Name: Doe, Jane		01	00	A	4953	00	91	63	227	84	170	0			
Gender: F	Birth: 12/12/40	Type: 32														

Figure 8-1

Example #2:

Your payroll cycle is set so that an employee is paid on February 28 for work performed from January 16—February 15. You pay compensation in one month that is earned in two different months (or earning periods).

As shown in Figure 8-2, you must report the employee using two lines on the transmittal. On one line, use a January earning period to report the compensation earned from January 16—31. On a second line, use a February earning period to report the compensation earned from February 1—15. This report would be for the reporting period of February due to DRS by March 15.

Washington State Department of Retirement Systems | **Member Earnings Transmittal Report**

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
99001	E	2	02/2001	Example School District	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information: Earning Period		Status	Member Compensation		Employer Contributions		Member Compensation		Hour/ Days		Begin Date	End Date	Seq No.
SSN: 234 56 7890	Name: Moe, Joe		01	00	A	2000	00	92	00	37	00	80	0			
Gender: M	Birth: 07/28/55	Type: 32														
SSN: 234 56 7890	Name: Moe, Joe		02	00	A	2000	00	92	00	37	00	80	0			
Gender: M	Birth: 07/28/55	Type: 32														

Figure 8-2

The transmittal for the reporting period of March would be due to DRS April 15 and would have the compensation earned from February 16—28 and from March 1—15, as shown in Figure 8-3.

Washington State Department of Retirement Systems | **Member Earnings Transmittal Report**

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
99001	E	2	03/2001	Example School District	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information: Earning Period		Status	Member Compensation		Employer Contributions		Compensation		Hour/ Days		Begin Date	End Date	Seq No.
SSN: 234 56 7890	Name: Moe, Joe		02	00	A	2000	00	92	00	37	00	80	0			
Gender: M	Birth: 07/28/55	Type: 32														
SSN: 234 56 7890	Name: Moe, Joe		03	00	A	2000	00	92	00	37	00	80	0			
Gender: M	Birth: 07/28/55	Type: 32														

Figure 8-3

Bi-Weekly Payroll Cycles

Example #3:

Your payroll cycle is set so that an employee is paid on February 13 for work performed from January 25—February 7 and is paid on February 28 for work performed from February 8—21. You pay compensation in one month that is earned in two different months (or earning periods).

In this case, you must report the employee using two lines on the transmittal, as shown in Figure 8-4. On one line use a January earning period to report the compensation earned from January 25—31. On a second line, use a February earning period to report the compensation earned from February 1—21. Report this information on the February transmittal due to DRS by March 15.

Washington State Department of Retirement Systems — **Member Earnings Transmittal Report**

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
99001	E	2	02/2001	Example School District	Dawn Riley	(360) 123-4567	1

Member Information	Earning Period		Status	Member Compensation		Employer Contributions		Contributions		Hour/ Days		Begin Date	End Date	Seq No.
SSN: 234 56 7890 Name: Moe, Joe	01	00	A	1000	00	46	00	18	50	40	0			
Gender: M Birth: 07/28/55 Type: 32														
SSN: 234 56 7890 Name: Moe, Joe	02	00	A	3000	00	138	00	55	50	120	0			
Gender: M Birth: 07/28/55 Type: 32														

Figure 8-4

Compensation earned from February 22—March 7 and paid on March 13 is reported on two lines as shown in Figure 8-5. On one line, use a February earning period to report the compensation earned from February 22—28. On a second line, use a March earning period to report the compensation earned from March 1—21. These earnings are reported on the March transmittal due to DRS by April 15.

Washington State Department of Retirement Systems — **Member Earnings Transmittal Report**

Rpt Grp (Dept)	System	Plan	Reporting Period	Employer Name	Prepared by	Phone	Page
99001	E	2	03/2001	Example School District	Dawn Riley	(360) 123-4567	1

Member Information	Earning Period		Status	Member Compensation		Employer Contributions		Contributions		Hour/ Days		Begin Date	End Date	Seq No.
SSN: 234 56 7890 Name: Moe, Joe	02	00	A	1000	00	46	00	18	50	40	0			
Gender: M Birth: 07/28/55 Type: 32														
SSN: 234 56 7890 Name: Moe, Joe	03	00	A	3000	00	138	00	55	50	120	0			
Gender: M Birth: 07/28/55 Type: 32														

Figure 8-5

Corrections to the Transmittal Report

You can make corrections on your regular transmittal report, or use the Transmittal Correction form (TC) to submit changes at any time during the month. Automated corrections can be submitted using any of the automated methods available.

Two methods may be used to make corrections via the regular transmittal report. They are the "reverse and reenter" method and the "adding/subtracting" method.

The preferred method is the reverse and reenter method. Using this method creates a record of your correction, an audit trail, which makes it easier for others to identify when and how a correction was made.

The adding/subtracting method allows you to use a single line to make a correction. This method can be used to correct errors in reported compensation, contributions or service.

Note: To correct member contributions in Plan 3, use the current salary and rate to determine the current deduction. Then add to or subtract from this amount to determine the appropriate amount to deduct/report to DRS.

Reverse and Reenter for Automated Reporting

Example:

First, enter a *reversing* transaction:

- On one blank line of the report, enter information for the employee exactly as you had reported it originally. Use brackets "[]" or a negative sign "-" to indicate negative amounts.

- Enter the month, year, status code and type code of the earning period you want to correct.

- Enter negative amount in the COMPENSATION, MEMBER CONTRIBUTIONS, EMPLOYER CONTRIBUTIONS and HOURS/DAYS fields to back out the incorrect reporting.

  Note: If you are correcting information for a *nontaxed period*, the information you reported may have been changed by DRS when your transmittal was processed. Be sure to back out the information *the same as it was changed by DRS*. Contact ESS if you do not know what the information was changed to. If you are correcting reporting for a *taxed period*, back out the information as it was reported originally.

Second, enter the *correcting* transactions:

- Enter the month, year, status code and type code of the earning period you want to correct.
- Enter the correct, positive amounts in the COMPENSATION, MEMBER CONTRIBUTIONS, EMPLOYER CONTRIBUTIONS and HOURS/DAYS fields.
- Adjust the summary record (or summary page) totals as necessary.

Adding/Subtracting for Automated Reporting

Example:

- Enter the month and year of the earning period you want to correct.
- Add to or subtract from the previously reported hours/days of service to correctly adjust the total.

  Note: If hours of service were reported as 132.0 and should have been reported as 140.0, report *positive* hours of 8.0.
- Adjust the summary record (or summary page) totals as necessary.

Corrections using the Transmittal Correction Form

A TC may be used to make corrections to your regular transmittal reporting. Because a TC can be sent to DRS at any time during the month, it is usually the quickest method to use to make corrections to your regular transmittal report. The same two methods for making the corrections to your regular transmittal report are used for the TC. The methods are "reverse and reenter" and "adding/subtracting."

Reverse and Reenter Method for TC

Example:

- Complete the necessary employer profile information in the header.
- On one blank line, enter information for the employee exactly as you had reported it originally. Use brackets "[ ]" or a negative sign "-" to indicate negative amounts. See Figure 8-6.

Note: If you are correcting reporting for a *nontaxed period*, the information you reported may have been changed by DRS when your regular transmittal report was processed. Be sure to back out the information *the same as it was changed by DRS*. If you are correcting a *taxed period*, back out the information exactly as it was reported originally.

- On a second blank line, reenter the correct information for the employee.

Washington State Department of Retirement Systems **Transmittal Correction Form**

Rpt Type	Rptg Group (Dept)	System	Plan	Employer Name	Prepared by	Phone	Page
C	99001	E	2	Example School District	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information: Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date
SSN: 234 56 7890	Name: Moe, Joe		04	00	A	-3000	00	-55	50	-138	00	-176	0		
Gender: M	Birth: 07/28/55	Type: 32													
SSN: 234 56 7890	Name: Moe, Joe		04	00	A	2950	00	54	58	137	31	176	0		
Gender: M	Birth: 07/28/55	Type: 32													

Figure 8-6

- At the end of the TC report, enter page, plan and system totals.

Adding/Subtracting Method for TC

<u>Example</u>:

- Complete the necessary employer profile information in the header.
- On a blank line of the form, enter member information in the SSN, NAME and TYPE fields.
- In the EARNING PERIOD field, enter the applicable month and year for the earning period being corrected.
- In the STATUS field, enter the applicable status code for the earning period being corrected.
- In the COMPENSATION, MEMBER CONTRIBUTIONS, EMPLOYER CONTRIBUTIONS and HOURS/DAYS fields, add to or subtract from the previously reported amounts to adjust the reported total.

  Note: As shown in Figure 8-7, an employee earned $220.00 more than was reported and worked an additional eight hours, the compensation, contributions and hours would need to be adjusted upward.

Washington State Department of Retirement Systems

Transmittal Correction Form

Rpt Type	Rptg Group (Dept)	System	Plan	Employer Name	Prepared by	Phone	Page
C	99001	E	2	Example School District	Dawn Riley	(360) 123-4567	1

Member Information			Earnings Information: Earning Period		Status	Compensation		Member Contributions		Employer Contributions		Hour/ Days		Begin Date	End Date
SSN: 234 56 7890	Name: Moe, Joe		04	00	A	220	00	4	07	10	12	8	0		
Gender: M	Birth: 07/28/55	Type: 32													

Figure 8-7

- At the end of the report, enter the page, plan and system totals.

Procedures for Multiple Record Layout (MRL) Reporting

The following pages provide information about procedures used in multiple record automated reporting. Because employers use various reporting options, these procedures may not describe the specific reporting procedures used by your agency. Please contact the appropriate staff in your agency or contact your service bureau for additional guidance for reporting procedures for your particular situation.

Adding an Employee to the Transmittal

When you hire a new employee who is eligible for retirement system coverage, or when an existing employee becomes eligible for retirement coverage, you must begin reporting the employee to DRS.

Before Adding an Employee

Verify the employee's plan assignment. The correct plan assignment is critical to ensure accurate reporting. Contact the appropriate retirement system (SERS) or (ESS) for assistance with verifying a plan assignment.

Determine the correct month to begin reporting the employee. If an employee first earns compensation in March, you would begin reporting the employee with a March earning period and begin date. The employee would be added to either the March or the April transmittal, depending upon your payroll cycle. (See the section called "Reporting to DRS" earlier in the chapter for information about payroll cycles.)

Completing the First Transmittal Report for a New Employee

The following information *must* be included on your regular transmittal report the first time you report an employee to DRS. The member's enrollment will not be completed until DRS has received this data. The transmittal system will reject any transactions for members whose information is incomplete on the transmittal report.

The four fields in each record which follow the record type identifier are common (*KEY*) fields and are part of each record type. They are:

- Reporting Group Number (dept.);
- Reporting Period;
- Report Type; and,
- Report Version Number.

Create the following record types the first time you report an employee:

Member Profile Record

Record Type Identifier
Key
Social Security Number
Member Name Change Flag = Y
Member Last Name
Member First Name
Member Middle Name*
Member Name Extension*
Member Name Title*
Member Name Suffix*
Address Change Flag = Y
Address 1
Address 2*
Address 3*
City
State
Zip Code
Zip Extension*
Gender Code
Birth Date
*   Optional

Employment Information Record

Record Type Identifier
Key
Social Security Number
System Code
Plan Code
Type Code
Eligibility Start Date

Defined Benefit Record

Record Type Identifier
Key
Social Security Number
System Code
Plan Code
Type Code
Earning Period
Status Code
Hours
Compensation
Employer Contributions
Defined Benefit Member Contributions (Not for Plan 3.)

Defined Contribution Record (For Plan 3 only)

Record Type Identifier
Key
Social Security Number
System Code
Defined Contributions
Tax Status
Investment Program
Rate Option

Note: Use this record only if a Plan 3 contribution rate has been selected.

Reporting a Member Transferring to Plan 3

SERS Plan 2 members, who choose to transfer to Plan 3, may transfer between September 1, 2000, and February 28, 2001. After February 28, 2001, members may transfer only during the open enrollment period each January. To report the transfer, complete the information on the Plan 3 Transfer Record. The transfer date should be the same as the transfer date in Section 4 of the "Plan 3 Member Information form."

Plan 3 Transfer Record

Record Type Identifier
Key
Social Security Number
System Code
Transfer Date

All information; e.g., Defined Benefit Record (DBR), must be reported in Plan 3, with the report that includes the transfer record.

Regular Transmittal Reporting

When submitting your regular transmittal report include the following:

- a summary record for each transmittal report (reporting group);
- defined benefit information for members of all systems and plans; and
- defined contribution information for Plan 3 members.

Note: Use the other record types only when necessary.

Separating Employees from the Transmittal Report

Use the Employment Information Record to submit the member's eligibility end date.

Name and Address Changes

Name Information

When members notify you of a name change, you should report the new information on the Member Profile Record of the transmittal report. Remember to report a "Y" for the Member Name Update Flag.

Address Information

When members notify you of address changes, you should report the new address on the Member Profile Record of the transmittal report. Remember to report a "Y" for the Member Address Update flag.

Note: Active members' names and addresses can only be updated through the transmittal report.

Technical Requirements

This section provides employers with information about how to report members to DRS using an electronic format. DRS can accept only one layout and several reporting media. The information in this section will help employers decide the best way for them to report retirement information to DRS.

This section describes:

- The Multiple Record Layout (MRL). Each field is described/identified by record type;
- the automated reporting media DRS accepts and the data format options associated with this media;
- specific step by step information employers must follow to start using one of the automated reporting media accepted by DRS; and

If you change your reporting method, please contact ESS to arrange for a test of the new method *before* submitting a regular transmittal report via the new method.

The Multiple Record Layout

The Multiple Record Layout (MRL) is Year 2000 compliant and is the only layout employers can use to report SERS Plan 3 members. Using MRL allows employers to update an employee's mailing address or name, eliminating the need to complete paper forms.

What the MRL Looks Like

The MRL report structure contains the following record types:

- Summary Record
- Member Profile Record
- Employment Information Record
- Defined Benefit Record
- Defined Contribution Record (use only for Plan 3 members)
- Plan 3 Transfer Record

The Member Profile Record, the Employment Information Record and the Plan 3 Transfer Record should be used only when necessary. More detail on the use of these records is provided in the record and field description areas of this document. Refer to the next page for a picture view of the various records associated with the MRL.

Record Types of the Multiple Record Layout

The chart in Figure 8-8 provides an overview of the structure for the transmittal reporting records. Detailed layouts for each record follow:

Summary Record	Member Profile Record	Employment Information Record	Defined Benefit Record	Defined Contribution Record	Plan 3 Transfer Record
Record Type Identifier	Record Type Identifier	Record Type Identifier	Record Type Identifier	Record Type Identifier	Record Type Identifier
Reporting Group (Dept.) Number[1]	Key[2]	Key[2]	Key[2]	Key[2]	Key[2]
Reporting Period[1]	SSN	SSN	SSN	SSN	SSN
Report Type[1]	Member Name Change Flag	System Code	System Code	System Code	System Code
Report Version Number[1]	Member Last Name	Plan Code	Plan Code	Defined Contributions	Transfer Date
Expected Monthly Reports	Member First Name	Type Code	Type Code	Taxed/ Non Taxed Status	
Total Compensation	Member Middle Name	Eligibility Start Date	Earning Period	Investment Program	
Total Member Contributions	Member Name Extension	Eligibility End Date	Status Code	Rate Option	
Total Employer Contributions	Member Name Title	Disability/Leave Start date (LEOFF only)	Hours (All plans except TRS 1)		
Total Hours Reported	Member Name Suffix	Disability/Leave End date (LEOFF only)	Days (TRS 1 only)		
Total Records Reported	Address Change Flag	Control Number	Compensation		
Total Days Reported (TRS 1 only)	Address Line 1	Organization Display	Employer Contributions		
	Address Line 2		Defined Benefit Member Contributions		
	Address Line 3				
	City				
	State				
	Zip Code				
	Zip Extension				
	Gender Code				
	Birth Date				

Figure 8-8

[1] These four data elements form the *key*, and are part of each record type.

[2] The *key*, which includes the four data elements noted in the summary record column under footnote 1, must be reported for each record type.

Record Structure of the MRL

Listed below are some basic field requirements that you should be aware of:

- the four fields in each record which follow the record type identifier are common (key) fields and are part of each record type;
- field start and end information is given for employers who will be reporting with fixed length records;
- the maximum field length is shown in the “field length” column for tab-delimited records;
- only tab-delimited records or fixed length records are accepted;
- report signed negative and positive numbers;
- alpha fields must be left justified;
- numeric fields must be right justified; and
- zoned decimals are not accepted.

The charts on the following pages reflect field names, format and field length information for each record type within MRL.

The Summary Record

Summary Record Use

The summary record as shown in Figure 8-9, must be part of every transmittal report to DRS. You can send one file with multiple reports but each transmittal report must have a summary record. The reporting group number is the data element within the summary record that distinguishes one transmittal report from another.

Summary Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (dept.) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Expected Monthly Reports	##	2	17	18
Total Compensation	+/-#########.##	13	19	31
Total Member Contributions	+/-#########.##	13	32	44
Total Employer Contributions	+/-#########.##	13	45	57
Total Hours (except TRS 1)	+/-#########.#	12	58	69
Total Records Reported	#######	7	70	76
Total Days (TRS 1 only)	+/-#########.#	12	77	88

Figure 8-9

[1]These four data elements form the *key*, and are part of each record type.

The Member Profile Record

Member Profile Record Use

This record is required the first time you report an employee. This record is also used to report a change to a member's name, address, gender code or birth date. See Figure 8-10 for details.

Member Profile Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (dept.) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
Member Name Change Flag	Character	1	26	26
Member Last Name	Character	35	27	61
Member First Name	Character	35	62	96
Member Middle Name	Character	35	97	131
Member Name Extension	Character	3	132	134
Member Name Title	Character	5	135	139
Member Name Suffix	Character	5	140	144
Address Change Flag	Character	1	145	145
Address Line 1	Character	35	146	180
Address Line 2	Character	35	181	215
Address Line 3	Character	35	216	250
City	Character	35	251	285
State Code	Character	2	286	287
Zip Code	#####	5	288	292
Zip Code Extension	####	4	293	296
Gender Code	Character	1	297	297
Birth Date	yyyymmdd	8	298	305

Figure 8-10

[1] These four data elements form the *key*, and are part of each record type.

The Employment Information Record

Employment Information Record Use

This record is required the first time you report an employee, and the last time you plan to report an employee. It is also used to update a member's type code, the control number, or organization display information. The leave/disability start and end date fields are used to record disability leave periods for LEOFF members. Layout details are shown in Figure 8-11.

Employment Information Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (dept.) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Plan Code	#	1	27	27
Type Code	##	2	28	29
Eligibility Start Date	yyyymmdd	8	30	37
Eligibility End Date	yyyymmdd	8	38	45
Disability/Leave Start Date (LEOFF only)	yyyymmdd	8	46	53
Disability/Leave End Date (LEOFF only)	yyyymmdd	8	54	61
Control Number	Character	6	62	67
Organization Display	Character	6	68	73

Figure 8-11

[1] These four data elements form the *key*, and are part of each record type.

The Defined Benefit Record

Defined Benefit Record Use

This record should be on every report for each member who has been reported with a retirement eligibility start date by your organization. At least one defined benefit record per member must be reported for each earning period being reported. This should continue until a retirement eligibility end date is reported. Layout details are shown in Figure 8-12.

Defined Benefit Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (dept.) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Plan Code	#	1	27	27
Type Code	##	2	28	29
Earning Period	yyyymm	6	30	35
Status Code	Character	1	36	36
Hours	+/-###.#	6	37	42
Days (TRS 1 only)	+/-##.#	5	43	47
Compensation	+/-#######.##	11	48	58
Employer Contributions	+/-#######.##	11	59	69
Defined Benefit Member Contributions (Sys/Plans other than Plan 3)	+/-#######.##	11	70	80

Figure 8-12

[1] These four data elements form the *key*, and are part of each record type.

The Defined Contribution Record

Defined Contribution Record Use

This record should be on each report for every Plan 3 member who has a retirement deduction. For transferring members, the Member Profile Record, Defined Contribution Record and Plan 3 Transfer Record must be reported the first time you report a transferring member. There is no 90-day period provided for transferring members to make the rate option selection. See layout details in Figure 8-13.

Defined Contribution Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (dept.) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Defined Contributions	+/-#######.##	11	27	37
Taxed/Non-taxed Status	Character	1	38	38
Investment Program	Character	4	39	42
Rate Option	Character	1	43	43

Figure 8-13

[1] These four data elements form the *key*, and are part of each record type.

The Plan 3 Transfer Record

Plan 3 Transfer Record Use

This record should be part of each regular transmittal report for every Plan 2 transferring member who is being reported in Plan 3 for the first time. Without the transfer date, DRS will not move a Plan 2 member into Plan 3, and all of the reported information on the transmittal report will be rejected.

The Defined Benefit Record and the Employment Information Record (when applicable) should contain the number 3 in the Plan Code field and be included on the transmittal report for each member being reported with a Plan 3 Transfer Record. Layout details are shown in Figure 8-14.

Plan 3 Transfer Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (dept.) [1]	Character	6	2	7
Reporting Period[1]	yyyymm	6	8	13
Report Type Code[1]	Character	1	14	14
Report Version Number[1]	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Transfer Date	yyyymmdd	8	27	34

Figure 8-14

[1] These four data elements form the *key*, and are part of each record type.

Choose From Three Data Format Options

DRS will accept three different formats from automated systems. The chart in Figure 8-15 describes the typical system requirements used to produce transmittal reports in each format.

	ASCII text format — tab delimited	**ASCII text format — fixed length**	**EBCDIC format — fixed length**
Typical system requirements	PC-based spreadsheet or database programs	Mainframe or mini-computer systems Also PC-based database or spreadsheet programs	Mainframe or mini-computer systems

Figure 8-15

Choose From Two Reporting Media Options

DRS can process transmittal report information via electronic transmission or diskette. The recommended medium is electronic transmission, specifically File Transfer Protocol (FTP). Electronic transmission increases efficiency and improves accuracy.

Electronic Reporting Choices

Employers can choose from two methods of electronic transmission:

- File Transfer Protocol (FTP); or
- dataset.

Reporting via FTP requires employers to use the ASCII text format. The FTP method allows employers to send their monthly transmittal report over the Internet using FTP software.

Employers who choose to report via dataset must use the EBCDIC fixed length format. Employers must be able to transmit the transmittal report file directly to a system 390 mainframe in Olympia, and have an account with DIS.

Creating an ASCII Format Transmittal Report Using a Spreadsheet

Employers can use spreadsheet software and a personal computer to create a file containing their detailed transmittal report transactions, and summary record. The file must be saved as ASCII text, in tab delimited format. This type of file can be submitted via diskette or FTP (one of the electronic transmission methods).

The sample in Figure 8-16 reflects how a transmittal report created with a spreadsheet may appear.

Points for use in creating a spreadsheet

- By using the record type identifier "L," you can create headings to help you use your spreadsheet. The DRS system will not process information in any row with an L in the Record Type Indicator field.

- Many spreadsheets will delete leading zeroes from numbers you enter. (For instance, the zero will be removed from 07.) As long as you are reporting in ASCII text, tab delimited format, DRS can read these fields, even if the leading zeroes do not appear. You may encounter this with fields such as Report Version Number, Expected Monthly Reports, Social Security Number or Type Code, among others.

- If you would like to have leading zeroes show on your spreadsheet, review the features of your spreadsheet application to determine how to reformat the way numbers are displayed in the cells.

- Because there are more fields in the detailed records than in the summary record, the columns do not need to line up. (See Figure 8-16.)

- When the transmittal report is complete, save your file as ASCII text, with tab delimiters. Follow the instructions provided with your software to save the file in this format.

Note: Refer to the field descriptions for complete field names. Field headings in Figure 8-16 are abbreviated.

MRL ASCII Tab Delimited Format - Using a Spreadsheet

Totals appear here for these columns of detailed information

L **Summary Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	Exp	Total Comp	Total Mem Contrib	Total Emp Contrib	Total Hours	Total Records	Total Days
S	99001	200009	R	01	01	4000.00	177.00	184.00	320.00	0000007	00.0

L **Member Profile Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	Name Change	Last Name	First Name	Middle Name	Name Extension	Name Title	Name Suffix	Address Change	Address Line 1	Address Line 2	Address Line 3	City	State	Zip Code	Zip Ext	Gen	Birth Date
M	99001	200009	R	01	123768888	Y	Mer	Iona	B				Y	PO Box 111			Olympia	WA	98504	8380	F	19580204
M	99001	200009	R	01	032556606	Y	Reilly	Dawn	A				Y	123 First Ave			Olympia	WA	98506	8388	F	19620524

L **Employment Information Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Plan	Type Code	Start Date	End Date	Dis Start	Dis End	Control Number	Org Display
E	99001	200009	R	01	032556606	E	2	32	20000901					

L **Defined Benefit Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Plan	Type Code	Earn Period	Status Code	Hours	Days	Member Comp	Employer Contrib	Def Bene Contrib
B	99001	200009	R	01	032556606	E	2	32	2000009	A	160.0	00.0	2000.00	92.00	37.00
B	99001	200009	R	01	123768888	E	3	32	2000009	A	160.0		2000.00	92.00	

L **Defined Contribution Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Def Contrib	Tax Status	Invest Prgm	Rate Option
C	99001	200009	R	01	123768888	E	140.00		WSIB	D

L **Transfer Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Transfer Date
T	99001	200009	R	01	123768888	E	20000901

Figure 8-16

Reporting Via FTP

How to Report Via FTP

The FTP method is recommended for employers who are currently reporting via diskette or tape. To submit a transmittal report via FTP, create a single electronic file containing both the detailed transmittal report transactions and the summary record information. Use the appropriate data format option. Save the file and transmit to DRS by the due date (the 15th of each month).

What You Can Report Via FTP

You can use FTP to submit:

- regular transmittal reports; and
- correction transmittal reports.

What You Will Need

To submit via FTP you need:

- computer hardware and software that can prepare an electronic file in the required data format;
- an Internet connection with FTP software; and
- a completed DRS Data Sharing Agreement.

Advantages of FTP Reporting

FTP reporting allows you to eliminate the time and costs of mailing a diskette, or tape. FTP reporting also allows DRS to update members’ accounts and respond to your transmittal report more effectively.

Getting Started with FTP Reporting

Step 1—Establish a DRS user ID

FTP transmittal reporting requires employers to establish a user ID with DRS and to provide an Internet e-mail address. Call ESS at (360) 664-7200 or 1-800-547-6657 to begin the process of establishing a user ID.

Step 2—Complete a DRS Data Sharing Agreement

Before reporting via FTP, you will need to complete a Data Sharing Agreement with DRS. This agreement spells out the responsibilities of both parties when sharing data. Call ESS for an agreement form. A security profile (includes your user ID, password and directory path/location you will transmit your file to) is necessary in order for DRS to accept your electronic file via FTP. Upon receipt of the signed Data Sharing Agreement, your security profile will be established.

Step 3—Prepare Your Transmittal Information

The preliminary step of preparing your transmittal reporting information is the same for FTP reporting as for any other method. You will use your payroll information to determine the detailed regular transmittal reporting transactions you need to submit to DRS.

Step 4—Create a Summary Record

Each transmittal report to DRS includes two parts:

- the detailed transmittal reporting transactions for each member; and
- the summary record totals (such as compensation and contributions) that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to transmit to DRS, create a summary record to include with your detailed transactions.

Step 5—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and the summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file.

Note: The data format options DRS will accept are described on page 24. The formats standardize the order of the data in your report so that DRS can read your electronic file and process the transactions. Your choice will be based on the type of hardware and software you have available.

Step 6—Name Your FTP File

See Figure 8-17 for an example of naming your electronic files using the following convention:

- the first 4 characters indicate the organization identification number assigned by DRS. If you do not know your organization ID, contact ESS at (360) 664-7200 or 1-800-547-6657;
- the next 4 characters should reflect the month and version number; and
- the three-character extension indicates format of the data.

—TAB for ASCII tab delimited format
—FIX for ASCII fixed length format

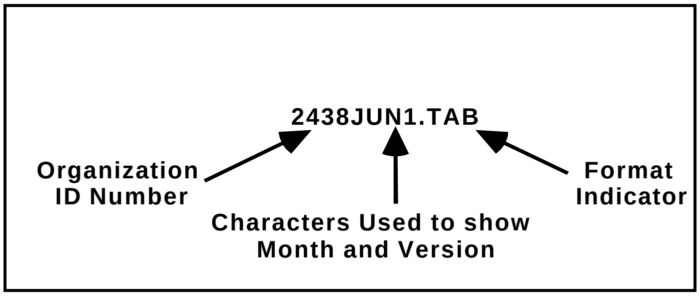

Figure 8-17

Step 7—Submit a Test FTP file to DRS

If you are changing to FTP reporting from another method, contact ESS so they can work with you to send a test file. ESS will edit the test file to ensure the file can be read and the data is in the correct format. You should continue to submit the regular transmittal report using your current method until you are notified by ESS of a successful test. *Test file names should include the word test after your organization id: 2438TEST.TAB or 2438TEST.FIX.*

Step 8—Begin Reporting via FTP

Once a test is successful, you will be notified that you can begin using FTP to send transmittal reports. Each weeknight, DRS will search your directory for files with appropriate file names. DRS will process the file the evening of the day you transmit the file. To confirm receipt of the file, DRS generates an e-mail message to you approximately 6:00 pm the day you send your file.

After the file is processed, DRS will delete the file from your assigned directory. If you discover the file you sent has an error, re-transmit a correct file with the same file name and it will replace the original file you sent only if the original file has not been processed. (Processing begins 5:00 pm Pacific Standard Time.)

Reporting via Dataset

How to Report via Dataset

The dataset method of electronic transmittal reporting is recommended for an employer who has already established an account with DIS, and is able to create and send an electronic file to the DIS IBM system 390, MVS mainframe computer in Olympia. If your organization does not have an account with DIS, the FTP process is recommended.

To submit your transmittal report via dataset, create a single electronic file containing both detailed transactions and the summary record information. Use the appropriate data format option described on page 24. Save the file and transmit the file to DRS by the due date (15^{th} of each month).

What You Can Report via Dataset

You can use a dataset to submit:

- regular transmittal reports; and
- correction transmittal reports.

What You Will Need

To submit datasets you will need:

- computer hardware and software that can prepare a dataset in the necessary data format;
- a DIS account;
- a completed DRS Data Sharing Agreement; and
- the ability to transmit datasets to the DIS IBM system 390 MVS mainframe computer in Olympia if the dataset is created on your own computer, or create the dataset on the DIS computer.

Advantages of Dataset Reporting

Dataset transmittal reporting allows you to eliminate the time and costs of mailing a diskette or tape. Dataset reporting also allows DRS to update members' accounts and respond to your transmittal report more effectively.

Getting Started with Dataset Reporting

Step 1—Establish a DIS Account

Before you can send transmittal reports via dataset, you must have an account with DIS. A DIS-provided user ID is also needed to create a dataset on the DIS mainframe. This account and user ID are separate from any agreements with DRS. If you do not already have an account with DIS, call ESS at (360) 664-7200 or 1-800-547-6657 to begin the process.

Step 2—Complete a DRS Data Sharing Agreement

Before reporting via dataset, you will need to complete a Data Sharing Agreement with DRS. This agreement spells out the responsibilities of both parties who are sharing data. Contact ESS at (360) 664-7200 or 1-800-547-6657 and an agreement form will be sent to you.

Once DRS has received a signed Data Sharing Agreement, your security profile will be established. A security profile is necessary for DRS to accept your electronic file via dataset.

Step 3—Prepare Your Transmittal Information

The preliminary step of preparing your transmittal report information is the same for dataset reporting as for any other method. You will use your payroll information to determine the detailed transmittal reporting transactions you need to submit to DRS.

Step 4—Create a Summary Record

Each transmittal report to DRS includes two parts:

- the detailed transmittal report transactions for each member; and
- the summary record totals (such as compensation and contributions) that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to transmit to DRS, create a summary record to include with your detailed transactions.

Step 5—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and the summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file. The EBCDIC data format must be used to report via the dataset method.

Step 6—Name Your Dataset

See Figure 8-18 for an example of naming your dataset using the following convention:

- The file name must begin with the following two qualifiers: INPES124.PC8600. Be sure to include a period between each qualifier.

- Begin the next qualifier with an E followed by the employer's organization number which is assigned by DRS and is part of the Data Sharing Agreement.

- You have the option of using additional qualifiers to identify your dataset. Each qualifier can be up to 8 characters, and must start with an alpha/numeric character. Separate each qualifier with a period. The total length of the name must not be more than 44 characters.

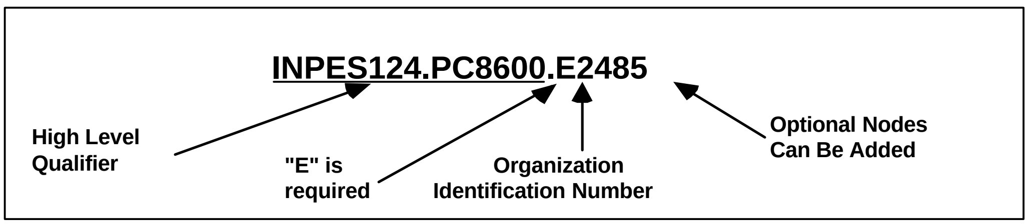

Figure 8-18

Step 7—Submit a Test Dataset to DRS

If you are changing to dataset reporting from another method, contact ESS so they can work with you to send a test file. ESS will edit the test file to ensure the file can be read and the data is in the correct format. You should continue to submit the transmittal report using your current method until you are notified by ESS of a successful test. *Test file names should include PC8400 after INPES124: INPES124.PC8400.E2485.*

Step 8—Begin Reporting by Dataset

Once a test is successful, you will be notified that you can begin using datasets to send transmittal reports. Each weeknight, DRS will search for datasets with appropriate file names. DRS will process the file the evening (5:00 pm Pacific Standard Time) of the day you transmit the file.

Reporting by Diskette

How to Submit a Transmittal Report on Diskette

To submit your transmittal report by diskette, create a single electronic file containing your detailed transmittal transactions and the summary record information. Use one of the data formats described on page 24 and save the file on a diskette. Mail the diskette to DRS so that it is received by the due date (15th of each month).

What You Can Report by Diskette

A diskette can be used to submit:

- regular transmittal reports; and
- correction transmittal reports.

What You Will Need

To report by diskette you will need:

- a personal computer or other computer;
- the ability to save your transmittal report as an electronic file in one of the formats DRS can accept. (If you use a spreadsheet or other program to prepare your payroll, you may already be able to save data in one of the ASCII formats described beginning on page 24); and
- a completed DRS Data Sharing Agreement.

  Note: DRS can accept only 3.5 inch diskettes formatted for PC.

Advantages of Reporting by Diskette

Reporting by diskette allows you to eliminate the time and costs of preparing a paper report. By limiting the manual intervention involved in submitting your retirement information on paper, you increase the potential for accuracy.

If an employer submits data via a diskette, DRS recommends you consider transferring the information electronically. Electronic transmittal reporting allows DRS to update members' accounts and provide Transmittal Edit Message Reports to employers more efficiently

How To Start Reporting via a Diskette

Step 1—Complete a DRS Data Sharing Agreement

Before reporting via diskette, you will need to complete a Data Sharing Agreement with DRS. This agreement spells out the responsibilities of both parties who are sharing data. Call ESS at (360) 664-7200 or 1-800-547-6657 and an agreement form will be sent to you.

Step 2—Prepare Your Transmittal Information

The preliminary step of preparing your transmittal information is the same for diskette reporting as for any other method. You will use your payroll information to determine the detailed transmittal reporting transactions you need to report to DRS.

Step 3—Create a Summary Record

Each report to DRS includes two parts:

- the detailed transmittal report transactions for each member; and
- the summary record totals (such as compensation and contributions) that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to submit to DRS, create a summary record to include with your detailed transactions.

Step 4—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and your summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file.

Note: The data format options DRS will accept are described on page 24. The formats standardize the order of the data in your transmittal report so that DRS can read your electronic file and process the transactions. Your choice will be based on the type of hardware and software you have available.

Step 5—Name Your File

See Figure 8-19 for an example of naming your electronic files using the following convention:

- the first 4 characters indicate the employer's organization number which is assigned by DRS. If you do not know your organization number, contact ESS at (360) 664-7200 or 1-800-547-6657;
- the next 4 characters should reflect the month and version number; and
- the three-character extension indicates format of the data.

  —TAB for ASCII tab delimited format
  —FIX for ASCII fixed length format

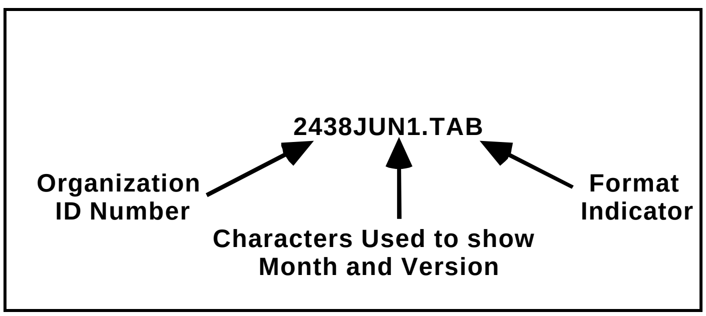

Figure 8-19

Step 6—Prepare Your Diskette

Save your transmittal report on a diskette as one file (you can combine more than one report in your file). Send only the current month's report. If you have used the diskette for previous reports, delete any old information still stored on the diskette.

Step 7—Label the Diskette

Each diskette you send to DRS must have an outside label. Include the following information on the label:

- employer name;
- employer address;
- file name for the electronic file on the diskette;
- report period; and

- your DRS-assigned organization ID. If you need to verify your organization ID, contact ESS at (360) 664-7200 or 1-800-547-6657.

Step 8—Address and Mail Your Diskette

Be sure to use appropriate packaging to ensure that your diskette is not damaged. The address for mailing will depend upon the carrier you use.

Federal Express or United Parcel Service		*United States Postal Service*
DRS Transmittal Unit 6825 Capitol Blvd. Tumwater, WA 98501	or	DRS Transmittal Unit P.O. Box 48380 Olympia, WA 98504-8380

Step 9—Submit a Test Diskette

If you are changing to diskette reporting from another method, contact ESS so they can work with you to send a test diskette. ESS will pre-edit the test file to ensure the file can be read and that the data is in the correct format. You should continue to submit transmittal reports using your current method until you are notified by ESS of a successful test. *Test file names should include the word test after your organization id: 2438TEST.TAB or 2438TEST.FIX.*

Step 10—Begin Regular Reporting by Diskette

Once a test is successful, you will be notified that you can begin using a diskette to send transmittal reports. ESS will return your diskette after each monthly transmittal report has been processed.

Field Descriptions

Below are the descriptions of each field within the transmittal report. The fields are listed in alphabetical order. The fields that are contained in more than one record type are identified with an **.

Address Change Flag

Use "Y" to update a member's mailing address or report "N" if you have included member address information, but do not want to update the DRS member database.

Address Lines

Three fields are provided for mailing address information.

Birth Date

Use this field to provide the member's birth date.

City

Use this field to report the name of the city within the mailing address for the member.

Compensation

In general, the salaries or wages earned by a member for personal services during a calendar month, payroll period, or fiscal year are reported as compensation. Each retirement system and plan has different requirements for reporting compensation. If no compensation is to be reported, enter zeroes in this field.

Control Number

Use this field to indicate how you want DRS to sequence members' annual statements (these statements are mailed to employers for distribution to members). The Reporting Group, Control Number and the last name of a member are the three qualifiers used by DRS for sequencing the statements. For an example of how the control number is used, see DRS Notice 99-007, *Members' Annual Statements and Sequencing Information*.

Days

For TRS Plan 1 members, service is reported in days. Use this field to report the days the TRS Plan 1 member worked during the earning period being reported. Days must be reported to the nearest tenth. If no days of service need to be reported, enter zeroes in this field.

Defined Benefit Member Contributions

Member contributions for members of systems and plans other than Plan 3 must be reported in this field. (Plan 3 member contributions are reported as part of the defined contribution record.)

Contributions must be the product of the following calculation:

contributions = (compensation) x (member contribution rate),

calculated to four decimal points and rounded to two decimal points.

Defined Contributions

Use this field to report member contributions for Plan 3 members. Once a member transfers to Plan 3 all member contributions should be reported in Plan 3—including any contributions on earnings as a Plan 2 member.

- **When to begin reporting defined contributions**
  Plan 3 members can take up to 90 days to select their rate option. Because of this, member contributions may not be reported on the first transmittal report. Member contributions must be deducted in the payroll cycle the 90^{th} day falls in or when the member selects a rate option, which ever occurs first.

  Note: Employers must pay employer contributions into the defined benefit portion of Plan 3 from the first day of the employee's employment in an eligible position.

  Plan 2 members who choose to transfer to Plan 3 must select their rate option at the same time they choose to transfer. This is true, even if the member is on a leave of absence. The rate option and the investment program selected by the member must be reported on the same transmittal report as the transfer date. This requirement allows the member's Plan 2 contributions to be forwarded to the investment program they selected.

- **What rate to use when computing defined contributions**
  All defined contributions for members in Plan 3 must be calculated on the rate in effect at the time the compensation is paid. If you need to adjust contributions previously paid, base your corrections on the contribution rate in effect when the original compensation was paid.

Disability/Leave End Date

Use this field to report the disability/leave end date.

Disability/Leave Start Date

Use this field to report the disability/leave start date.

Earning Period

The earning period is the year and month in which the compensation was earned. Only one earning period can be reported per transaction. Create transactions for each earning period that needs to be reported.

Eligibility End Date

Use this field to report the date a member ends employment that is eligible for retirement system coverage. This date may be equal to the employment termination date or an earlier date if the employee is originally hired into an eligible position and later moves into an ineligible position. This date should be on the last transmittal report you expect to use for a member.

Eligibility Start Date

Use this field to report the date a member begins employment that is eligible for retirement system coverage. This date may be equal to the employment start date, or a later date if the employee is originally hired into an ineligible position and later is hired into an eligible position. This date must be on the transmittal report for each member you are reporting for the first time. If you report a member without an eligibility start date, all of the information on the transmittal report will be rejected.

Employer Contributions

Employer contributions are due on all compensation reported for each earning period.

Contributions must be the product of the following calculation:
contributions = (compensation) x (employer contribution rate), computed to four decimal points and rounded to two decimal points.

Expected Monthly Reports

- Employers who are not using the multiple reporting option should always enter 01 in the Expected Monthly Reports field.

- Employers using the multiple reporting option must use the Report Version Number and Expected Monthly Reports fields to identify which report this is in the month's sequence of reports.

  <u>Example:</u> 01 of 03 (first report of three expected reports for the month). Refer to report version number definition.

- Employers submitting a correction report should always enter 01 in the Expected Monthly Reports field.

Gender Code

Use this field to provide the member's gender. Valid values: F or M

Hours

For all retirement systems and plans, except TRS Plan 1, service is reported in hours. Use this field to report the hours the member worked during the earning period being reported. Hours must be reported to the nearest tenth. If no hours of service need to be reported, enter zeroes in this field.

Investment Program

- Fill this field with the code "WSIB" to direct member contributions to the Washington State Investment Board.
- Fill this field with the code "SELF" to direct member contributions to the Self-Directed Investment Program.

Note: If a non-transferring Plan 3 member fails to select an investment program within 90 days of eligibility, your system must report "WSIB."

Member Name Change Flag

Use "Y" to update the member's name or report "N" if you have included name information, but do not want to update the DRS member database.

Member Name Extension

Use this field to provide the legal extension of the name, such as III, Sr. or Jr. Do not report extensions earned through education; i.e., Dr., DDM.

Member Name—Last/First/Middle

The name identifies the employee being reported. Three fields (Last Name, First Name, Middle Name) can be used to report the name. The middle name is not required.

Member Name Suffix

Use this field to report any additional initials or abbreviation indicating degrees earned through the educational process, such as "Ph.D."

Member Name Title

Use this field to report a formal name or abbreviation used in front of the full name, such as "Dr." or "Rev."

Organization Display

Use this field in conjunction with the Control Number field for purposes of managing the distribution of annual statements. DRS displays the information in this field on the bottom of the member's annual statement.

Plan Code**

Use this field to provide the plan number of the system in which the member participates. Valid values for SERS are 2 or 3.

Rate Option

There are currently six rate options: A, B, C, D, E or F. Fill this field with the applicable value, to indicate the rate option the Plan 3 member has selected.

Note: If a non-transferring member fails to select a rate option within 90 days of eligibility, employers must report rate option A.

- **Option B and C—coordinating rate changes with birth dates**
  For members choosing options B and C, rates must increase following the 35^{th} and 45^{th} birthdays. If a rate change is necessary following a member birthday, you will begin using the new rate on the first of the following month.

  Example: if a member who has chosen option B turns 35 on January 15, you will deduct 6 percent contributions for all reportable compensation beginning on February 1.

Record Type Identifier**

Each record has a unique record type identifier. If you are using a spreadsheet to create the transmittal report or the file contains rows that are not filled with transmittal report data (such as column headings), mark them with "L" so the DRS system will not read them as data. See Figure 8-16.

B—to identify the Defined Benefit Record.
C—to identify the Defined Contribution Record.
E—to identify the Employment Information Record.
L—to identify rows with column headings or rows you do not want DRS to process.
M—to identify the Member Profile Record.
S—to identify the Summary Record.
T—to identify the Plan 3 Transfer Record.

Report Type**

This field is used to indicate whether the report is a regular transmittal report or a correction report. Valid values: R or C.

R—Regular transmittal report.
C—Correction report.

You may always include correcting transactions within your regular transmittal reports. In addition, DRS will accept separate correction reports. This allows you to submit correcting transactions any time during a month. Use the Report Type field to identify the type of report you are submitting.

Report Version Number**

DRS can arrange for employers who report electronically to submit multiple regular transmittal reports for each calendar month. The Report Version Number and Expected Monthly Reports fields identify the expected number of regular transmittal reports for a specific month.

Note: To use the multiple reporting option you must make prior arrangement with DRS. For additional information, contact the ESS at (360) 664-7200 or 1-800-547-6657.

- Employers who are not using the multiple reporting option should always enter 01 in the Report Version Number field.

- Employers using the multiple reporting option must use the Report Version Number to identify which transmittal report this is in the month's sequence of reports.

  Example: 01 of 03 (first report of three expected reports for the month). Refer to Expected Monthly Reports definition.

- Employers submitting a correction report should always enter 01 in the Report Version Number field. (Correction reports are given version numbers by the DRS system.)

Reporting Group (Dept.) Number**

This is a DRS-assigned number and is system specific. An employer who participates in multiple systems has a specific reporting group number for each system.

- Fixed length ASCII format—The field length must be 6 characters. If the reporting group (department) number is less than 6 characters long, add blank spaces at the end.
  Example: 99001ƀ.

Reporting Period**

The reporting period identifies the year and month of the transmittal report. The same reporting period should be used for all entries in the reporting month even if more than one earning period is reported.

Social Security Number (SSN) **

The member's Social Security number must be 9 digits in length. The Social Security number entered on the transmittal report must match the number on the employee's Social Security card and the number identified on the DRS Enrollment Record.

State

Use this field to report the state abbreviation within the mailing address.

Status Code

Status codes identify the status of the compensation, contributions, and hours or days being reported for a member. Only one status code can be reported per transaction. If more than one status code needs to be reported for a member, use additional transactions for each status code.

System Code**

The system code identifies the system being reported.

Taxed/Non-taxed Status

Fill this field with a "T" to indicate that member contributions are taxed. Leave the field blank if the member contributions are deferred from federal income tax.

Total Compensation

Enter the grand total of member compensation for all plans reported on the transmittal report.

Total Days

Enter the grand total of days for TRS Plan 1 members reported within the Defined Benefit Record.

Total Employer Contributions

Enter the grand total of employer contributions for all plans reported on the transmittal report.

Total Hours

Enter the grand total of hours for all plans reported within the Defined Benefit Record.

Total Member Contributions

Enter the grand total of member contributions for all plans included in the detailed transactions on the transmittal report. Include member contributions from both the Defined Benefit Record and the Defined Contribution Record.

Total Records Reported

Enter the total number of detailed transactions on the transmittal report.

Transfer Date

Fill this field with the date the member is transferring from Plan 2 to Plan 3, based on the Enrollment/Transfer form completed by the member.

Type Code**

The Type Code identifies the type of employer, and in some cases, the type of work performed by the member.

Zip Code

Use this field to report the zip code within the mailing address for the member.

Zip Extension

Use this field to report the zip code extension within the mailing address for the member.

DRS Transmittal Report System Edits by Field

General Information

In May 1995, the Department of Retirement Systems (DRS) implemented the Employer Information System (EIS). In July 1996, the Multiple Record Layout (MRL) was created in order to process Plan 3 information. The information below is provided to assist you if you choose to pre-edit your reports.

The information is organized by the field names on the transmittal report. DRS hopes this information will help you incorporate enhancements in your transmittal reporting.

Address Change Flag

- Valid values : Y or N

Address Lines

- The first line must contain information
- The second and third lines are optional

Birth Date

- BIRTH DATE must appear on the first transmittal report you submit for an employee.
- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)

Note: If the BIRTH DATE indicates the member is younger than 16 or older than 100 years, DRS accepts the data but issues a warning message asking if the date is correct.

City

- This field must contain a valid city whenever the member profile record is submitted.

Compensation

- If COMPENSATION is reported, CONTRIBUTIONS must also be reported, with the following exceptions:

— STATUS code L must be reported with zero CONTRIBUTIONS.
— For PERS Plan 2 elected officials with TYPE codes 10-16, 24-25 and 31; STATUS code A may be reported with zero CONTRIBUTIONS if no service credit was earned that month.

—MEMBER CONTRIBUTIONS are not reportable for Plan 3 members unless the member has chosen a rate option.

Note: DRS checks its member account records to ensure the COMPENSATION reported for a member on any transmittal report will not result in a net negative balance on the member account for that particular earning period. Transactions creating a new negative balance are rejected if the earning period is three months prior to the current earning period.

If COMPENSATION is over $10,000.00, DRS accepts the data and issues a warning message asking if the amount is correct.

Control Number

- No edits

Days

- DAYS are reported to the nearest tenth (24.0) for TRS Plan 1 only.
- If DAYS are greater than 24 (or less than –24), DRS accepts the data and issues a warning message asking if the amount is correct.

  Note: DRS checks its member account records to ensure the DAYS reported for a member on any transmittal report will not result in a net negative balance on the member account for that particular earning period. Transactions creating a net negative balance are rejected.

Defined Benefit Member Contribution

- Member contributions for non-Plan 3 members only.
  Contributions must be the product of the following calculation:
  contributions = (compensation) x (member contribution rate),
  calculated to four decimal points and rounded to two decimal points.

Defined Contributions

- Plan 3 member contributions only.

Disability/Leave End Date

- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)

Disability/Leave Start Date

- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)

Earning Period

- A valid earning period must be present for the transaction to be processed.
- Valid values for year: 00-99
- Valid values for month: 01-12
- Earning period year must not be greater than current reporting period year (or current reporting period year +1 if the reporting month is 12).
- For system code E,

  —Plan 2, the earning period must be greater than September 1977 (> 197709);

  —Plan 3, the earning period must be great than August 2000 (> 200008);

  Note: Corrections will be accepted from October 1977 forward for SERS Plan 2 members who transferred to Plan 3.

- The earning period must be equal to or greater than the begin date for this social security number.
- The earning period must not be greater than the end date for this social security number (unless a new period of employment is beginning and a new begin date is reported).

  Note: Some STATUS CODES are valid only for a certain range of EARNING PERIODS.

DRS checks to see that the EARNING PERIOD is greater than or equal to the member's entry year and month into the system as recorded on DRS's member database.

Eligibility End Date

- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)
- The END DATE must be greater than or equal to the BEGIN DATE for this employee with this employer.

Eligibility Start Date

- Valid values for year: 00-99
- Valid values for month: 01-12
- Valid values for day: 01-31, 01-30, 01-29, or 01-28 (depending on the month and year)
- Data must appear in this field the first time a SOCIAL SECURITY NUMBER is reported.

Employer Contributions

Employer contributions must be the product of this calculation:
contributions = (compensation) x (employer contribution rate),
computed to four decimal points and rounded to two decimal points.

Note: The contribution rate must be correct for the SYSTEM, PLAN, and EARNING PERIOD.

Expected Monthly Reports

- Employers using the multiple reporting option must use the Report Version Number and Expected Monthly Reports fields to identify which regular transmittal report this is in the month's sequence of reports.

- Employers who are not using the multiple reporting option should always enter 01 in the Report Version Number field.

- Employers submitting a correction report should always enter 01 in the Expected Monthly Reports field.

Gender Code

- Valid values: F, M
  F—Female
  M—Male
- GENDER CODE must be reported the first time you report an employee.

Hours

- Hours are reported for all systems except TRS Plan 1.
- If hours are greater than 300 (or less than –300), DRS accepts
- the data and issues a warning message asking if the amount is correct.

  Note: DRS checks its member account records to ensure the HOURS reported for a member on any transmittal report will not result in a net negative balance on the member account for that particular earning period. Transactions creating a net negative balance are rejected.

Investment Program

- Valid values: WSIB or SELF

Member Name Change Flag

- Valid values: Y or N

Member Name Ext.

- No edits

Member Name—Last, First, Middle

- A valid NAME must be present for the transaction to be processed.
- Reported data must not be all numbers
- Middle name is optional

Note: DRS checks that the EMPLOYEE NAME matches DRS's member database for the reported SOCIAL SECURITY NUMBER.

Member Name Suffix

- No edits.

Member Name Title

- No edits

Organization Display

- No edits

Plan Code

- A valid PLAN code must be present for the transaction to be processed.
- Valid values: 2 or 3
  2—Plan 2
  3—Plan 3

Note: DRS checks the PLAN code against the plan shown for the employee's Social Security number on DRS's member database.

Rate Option

- Valid values: A, B, C, D, E and F

Record Type Identifier

- Valid values: B, C, E, L, M, S, and T

Report Type

- Valid values: R or C

Report Version Number

- Valid values: 01—03
- Employers using the multiple reporting option, must use the Report Version Number to identify which report this is in the month's sequence of reports.
- Employers who are not using the multiple reporting option should always enter 01 in the Report Version Number field.
- Employers submitting a correction report should always enter 01 in the REPORT VERSION NUMBER field. (Correction reports are given version numbers by the DRS system.)

Reporting Group (Dept. Number)

- A valid REPORTING GROUP (Dept. Number) must be present for the transaction to be processed.
- The REPORTING GROUP must be valid for the SYSTEM reported for this transaction.
- The following ranges of numbers are valid for SERS:
  SERS 90011-99991

Note: DRS validates the REPORTING GROUP NUMBER against DRS's database of valid reporting group numbers.

Reporting Period

- Valid values for year: 00-99
- Valid values for month: 01-12
- A valid REPORTING PERIOD must be present for the transaction to be processed.
- REPORTING PERIOD YEAR must not be greater than current year.
- REPORTING PERIOD MONTH must not be greater than current month.
- REPORTING PERIOD must be one month greater than the last reported REPORTING PERIOD for this REPORTING GROUP.
- All transactions on a particular transmittal report must have the same REPORTING PERIOD regardless of EARNING PERIOD(S) reported.

Social Security Number

- A valid SOCIAL SECURITY NUMBER must be present for the transaction to be processed.

- If a SOCIAL SECURITY NUMBER has not appeared on the transmittal report before, the transaction must have an ELIGIBILITY START DATE.
- A SOCIAL SECURITY NUMBER should not appear for any EARNING PERIOD before the reported ELIGIBILITY START DATE.
- Once a SOCIAL SECURITY NUMBER has been reported, that same SOCIAL SECURITY NUMBER must be reported each earning period until that employee is separated from the transmittal report.
- A SOCIAL SECURITY NUMBER should not appear for any EARNING PERIOD after the reported ELIGIBILITY END DATE, unless you report a new ELIGIBILITY START DATE.

Note: DRS verifies the SOCIAL SECURITY NUMBER matches the name and SOCIAL SECURITY NUMBER in the DRS's member database.

State

- Valid values are each state's letter abbreviations used for mailing.

Status Code

- A valid STATUS code must be present for the transaction to be processed.
- The following STATUS codes are valid for any EARNING PERIOD:
  —A, B, E, F, G, M, N, P, R, S, T, U, V, W, X, Y.
- The following STATUS codes are valid only for restricted EARNING PERIODS:
  —C code is valid only for EARNING PERIODS from September 1983 through August 1990 (198309-199008).
  —D code is valid only for EARNING PERIODS prior to September 1989 (<198909).
  —H code is valid only for EARNING PERIODS prior to September 1990 (< 199009).
  —L code is valid only for EARNING PERIODS from January 1987 through August 1991 (198701-199108).
  —Q code is valid only for EARNING PERIODS prior to January 1993 (<199301).
- The STATUS code must be valid for the SYSTEM, PLAN, and TYPE codes reported.

A Status code A is valid for any SYSTEM, PLAN, EARNING PERIOD, or TYPE code.

B For status code B the following edits apply:
—If status is B, compensation, employee contributions, and hours/days must be zero.

C For status code C the following edits apply:
—C code is valid only for school district employees (DRS verifies against REPORTING GROUP).
—C code is valid only for SYSTEM P or E.
—C code is valid only for EARNING PERIODS from September 1983 through August 1990 (198309-199008).
—C code is valid only for TYPE codes 18 and 21 or 32 and 33.

D For status code D the following edits apply:
—D code is valid only for higher education employees (DRS verifies against REPORTING GROUP).
—D code is valid only for SYSTEM P.
—D code is valid only for EARNING PERIODS prior to September 1989 (<198909).
—D code is valid only for TYPE codes 19 and 20.
—If STATUS is D, COMPENSATION, EMPLOYEE CONTRIBUTIONS, and HOURS/DAYS must be zero.

E For status code E the following edits apply:
—E code is valid only if SYSTEM is L, and PLAN is 1.
—If STATUS is E, COMPENSATION, EMPLOYEE CONTRIBUTIONS, and HOURS/DAYS must be zero.

F For status code F the following edits apply:
—F code is valid only if SYSTEM is T.

G For status code G the following edits apply:
—G code is valid only if SYSTEM is T and PLAN is 1.

H For status code H the following edits apply:
—H code is valid only if SYSTEM is T.
—H code is valid only for EARNING PERIODS prior to September 1990 (< 199009).

L For status code L the following edits apply:
—L code is valid only if SYSTEM is T, L and PLAN is 2 or SYSTEM is P and PLAN is 1 or 2, or SYSTEM is E and PLAN is 1 or 2.
—If STATUS is L, EMPLOYEE CONTRIBUTIONS must be zero.
—L code is valid only for EARNING PERIODS from January 1987 through August 1991 (198701-199108).

M For status code M the following edits apply:
—M code is valid only if SYSTEM is E, P, T, L or S.
—If STATUS is M, HOURS/DAYS must be zero.

N For status code N the following edits apply:
—N code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1, or SYSTEM is S.
—N code is valid only for TYPE codes 01-25, 51, 71-75, and 78.

P For status code P the following edits apply:
- —P code is valid only if SYSTEM is P and PLAN is 1.
- —P code is valid only for TYPE codes 02-08 and 10-16.

Q For status code Q the following edits apply:
- —Q code is valid only if SYSTEM is P, PLAN is 2, and TYPE is 10-16 or SYSTEM is E, PLAN is 2 or 3, and TYPE is 31.
- — Q code is valid only for EARNING PERIODS prior to January 1993 (<199301).
- — If STATUS is Q, COMPENSATION may be reported without CONTRIBUTIONS.

R For status code R the following edits apply:
- — R code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1.
- — R code is valid only for TYPE codes 01-25, 71-75, and 78.

S For status code S the following edits apply:
- — When STATUS is S, there must be data in the END DATE field.
- — When STATUS is S, the END DATE YEAR and MONTH must match the EARNING PERIOD YEAR and MONTH.

T For status code T the following edits apply:
- — T code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1,or SYSTEM is S.
- — T code is valid only for TYPE codes 01-25, 51, 71-75, and 78.

U For status code U the following edits apply:
- — U code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1, or SYSTEM is S.
- — U code is valid only for TYPE codes 01-25, 51, 71-75, and 78.

V For status code V the following edits apply:
- — V code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1.
- — V code is valid only for TYPE codes 01-25, 71-75, and 78.

W For status code W the following edits apply:
- — W code is valid only if SYSTEM is P and PLAN is 1.
- — W code is valid only for TYPE codes 02-08 and 10-16.

X For status code X the following edits apply:
- — X code is valid only if SYSTEM is P and PLAN is 1.
- — X code is valid only for TYPE codes 02-08 and 10-16.

Y For status code Y the following edits apply:
- — Y code is valid only if SYSTEM is P and PLAN is 1, or SYSTEM is T and PLAN is 1.
  Y code is valid only for TYPE codes 01-25, 71-75, and 78.

System Code

- A valid SYSTEM code must be present for the transaction to be processed.
  Valid Values:
  E—School Employees' Retirement System (SERS)

Note: DRS checks that the SYSTEM code matches our record of the system for the REPORTING GROUP.

Tax/Non-tax

- Valid values: T or blank

Total Compensation

- Should equal the sum of all transactions for which compensation is reported.

Total Days

- Should equal the sum of all days for which compensation is reported.

Total Employer Contributions

- Should equal the sum of all employer contributions for which compensation is reported.

Total Hours

- Should equal the sum of all hours for which compensation is reported.

Total Member Contributions

- Should equal the sum of all member contributions for which compensation is reported.

Total Records Reported

- Should equal the sum of all records reported.

Transfer Date

- Valid values for year: 00-99
- Valid values for month: 01, (except during open window.)
- Valid values for day: 01-31
- Data must appear in this field the first time a Plan 2 member is reported in Plan 3.
- Open window for SERS: September 1, 2000, – February 28, 2001, and
- January 1-31 of every year beyond 2001.
- Open window for TRS: July 1, 1996, – December 1997, and
  January 1-31 of every year beyond 1997.

Type Code

- A valid TYPE CODE must be present for the applicable transaction to be processed.
- The TYPE CODE must be valid for the SYSTEM and for the employee type.
- VALID VALUES: 30-33

Note: DRS validates the TYPE CODE against the reported SYSTEM and the system's record of the Employer Type.

Zip Code

- Must be numeric

Zip Extension

- Must be numeric